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SEC / TM **UNITED STATES** SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

FORM 19b-4(e)

OMB APPROVAL

OMB Number: 3235-0504

Expires: August 31, 2010 Expires average burden

Koors per response.....3.60

Information Required of a Self-Regulatory Organization Listing and Trucking a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Explange April 1934

# READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

## Part I

### **Initial Listing Report**

- 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: Nasdag Stock Market LLC (traded pursuant to unlisted trading privileges)
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): **Open End Management Investment Company**
- 3. Class of New Derivative Securities Product:

## **Exchange Traded Fund**

- 4. Name of Underlying Instrument:
  - **CIBC Atlas Clean Energy Index**
- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: **Broad-based**
- 6. Ticker Symbol(s) of New Derivative Securities Product:

**ACES** 

- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE, Toronto
- 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 2 (cash settled)
- 9. Position Limits of New Derivative Securities Product (if applicable):



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Part II

### Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:

William Slattery

Title:

**Vice President** 

Telephone Number:

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SEC 2449 (6-01)

Securities Exchange Act of 1934

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